

Mississippi Secretary of State

ADMINISTRATIVE PROCEDURES NOTICE FILING

AGENCY NAME Secretary of State – Securities Division		CONTACT PERSON Emily Ludwigsen	TELEPHONE NUMBER 601-359-6366	
ADDRESS 660 North St.		CITY Jackson	STATE MS	ZIP 39201
EMAIL emily.ludwigsen@sos.ms.gov	SUBMIT 9/29/2026	Name or number of rule(s): Mississippi Securities Act Rule 6.13(G) and Rule 6.25(EE)		

Short explanation of rule/amendment/repeal and reason(s) for proposing rule/amendment/repeal: Rule 6.13(G) should be amended to permit investment adviser representatives to associate with two, but not more than two, unaffiliated investment adviser firms at the same time. Rule 6.13(G) currently requires that the two investment adviser firms be affiliated, and this amendment would remove this requirement. Rule 6.25(EE) should be amended to allow investment professionals to view client investment data from multiple sources via a data aggregation software, which combines client data from multiple sources into one usable interface and enables investment advisors and representatives to view a client's total financial picture; however, the software does not permit the investment advisor and representatives to make any changes to the client's underlying account(s).

Specific legal authority authorizing the promulgation of rule: Miss. Code Ann. § 75-71-605(a)(1).

List all rules repealed, amended, or suspended by the proposed rule: Rules 6.13(G) and 6.25(EE)

ORAL PROCEEDING:

☐ An oral proceeding is scheduled for this rule on Date: _____ Time: _____ Place: _____

☒ Presently, an oral proceeding is not scheduled on this rule.

If an oral proceeding is not scheduled, an oral proceeding must be held if a written request for an oral proceeding is submitted by a political subdivision, an agency or ten (10) or more persons. The written request should be submitted to the agency contact person at the above address within twenty (20) days after the filing of this notice of proposed rule adoption and should include the name, address, email address, and telephone number of the person(s) making the request; and, if you are an agent or attorney, the name, address, email address, and telephone number of the party or parties you represent. At any time within the twenty-five (25) day public comment period, written submissions including arguments, data, and views on the proposed rule/amendment/repeal may be submitted to the filing agency.

ECONOMIC IMPACT STATEMENT:

☒ Economic impact statement not required for this rule. ☐ Concise summary of economic impact statement attached.

TEMPORARY RULES	PROPOSED ACTION ON RULES	FINAL ACTION ON RULES
_____ Original filing _____ Renewal of effectiveness To be in effect in _____ days Effective date: _____ Immediately upon filing _____ Other (specify): _____	Action proposed: _____ New rule(s) _____ ☒ Amendment to existing rule(s) _____ Repeal of existing rule(s) _____ Adoption by reference Proposed final effective date: _____ ☒ 30 days after filing _____ Other (specify): _____	Date Proposed Rule Filed: _____ Action taken: _____ Adopted with no changes in text _____ Adopted with changes _____ Adopted by reference _____ Withdrawn _____ Repeal adopted as proposed Effective date: _____ 30 days after filing _____ Other (specify): _____

Printed name and Title of person authorized to file rules: Emily Ludwigsen – Senior Attorney, Securities Division

Signature of person authorized to file rules: /s/ Emily Ludwigsen

OFFICIAL FILING STAMP	DO NOT WRITE BELOW THIS LINE OFFICIAL FILING STAMP	OFFICIAL FILING STAMP
Accepted for filing by	 Accepted for filing by <u>28923 [Signature]</u>	Accepted for filing by

The entire text of the Proposed Rule including the text of any rule being amended or changed is attached.